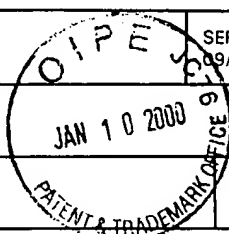


FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
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Date submitted to PTO: January 7, 2000

ATTY DOCKET NO.  
027756-0101APPLICANT  
Arthur Willard ChaffeeFILING DATE  
October 1, 1999SERIAL NO.  
09/410,825GROUP  
Unassigned

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
N.S.	4,334,270	6/8/82	TOWERS			
K	4,346,442	8/24/82	MUSMANNO			
	4,376,978	3/15/83	MUSMANNO			
	5,021,976	6/4/91	WEXELBLAT et al.			
	5,132,899	7/21/92	FOX			
	5,471,575	11/28/95	GIANSANTE			
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	5,644,727	7/1/97	ATKINS			
	5,893,079	4/6/99	CWENAR			
	5,918,217	6/29/99	MAGGIONCALDA et al.			
N.S.	5,926,822	7/20/99	GARMAN			

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

N.S.	Advent Software: Solutions for Growing Investment Advisors – Business Challenges, 8/17/99, pages 1-3
K	Advent Software: The Open GL Interface, 8/17/99, pages 1-2
	Advent Software: Axys Release 3 – Raising the Standard in Portfolio Management, 8/17/99, pages 1-6
	Centerpiece eReports Web Site Report Publishing, 8/17/99, pages 1-2
	Centerpiece Sample Reports, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Portfolio Statement, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Portfolio Position Analysis, 8/17/99, pages 1-2
N.S.	Centerpiece Sample Reports, Asset Allocation, 8/17/99, pages 1-2

EXAMINER

N. Subramana

DATE CONSIDERED

12/15/03

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
N.J.	4,823,265	4/18/89	Nelson			
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## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

N.J.	Centerpiece Sample Reports, Income Report, 8/17/99, page 1-2
A	Centerpiece Sample Reports, Realized Gains & Losses, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Realized Gains & Losses, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Comparative Portfolio Performance Report, 8/17/99, pages 1-2
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	Centerpiece Sample Reports, Portfolio Performance Review, 8/17/99, pages 1-4
	Centerpiece Sample Reports, Portfolio Rebalancing Report, 8/17/99, pages 1-2
	Centerpiece Sample Reports, Cross-Reference by Securities, 8/17/99, pages 1-2
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	Financial Statement & Net Worth, 12/15/98, page 1.1
	Schedule D Worksheet, 12/15/98, page 18.1
	Internal Rate of Return Report, 12/15/98, page 13.1
	Randall Smith, So Far, 'E-Underwriting' Gets a Slow Start, The Wall Street Journal, August 13, 1999, pp. C1, C10.
	Harbinger ad, The Wall Street Journal, July 30, 1999, page A9
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V	Island ad, The Wall Street Journal, July 29, 1999, Page A25
N.J.	Discover Brokerage ad, The Wall Street Journal, August 10, 1999, page A5

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DATE CONSIDERED

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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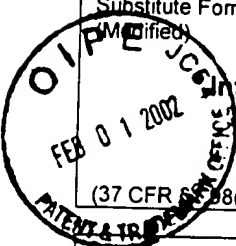
U.S. Department of Commerce  
Patent and Trademark Office

Attorney's Docket No.

09857-029001

Application No.

09/401,873



# Information Disclosure Statement by Applicant

(Use several sheets if necessary)

(37 CFR 1.98(b))

Applicant

Stuart Serkin et al.

Filing Date

September 23, 1999

Group Art Unit

## U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
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	AE						
	AF						
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	AH						
	AI						
	AJ						
	AK						

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## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
N.A.	AQ	"Self-Regulatory Organizations: Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System" Federal Register - Securities and Exchange Commission, Vol. 63, No. 48, March 12 1998, pps. 12124-40, XP002171774 (198.17.75.65/fril/)
N.A.	AR	Picot, A., Boertenlanger, C., Rohrl, H., "The Automation of Capital Markets", Journal of Computer-Mediated Communication, Vol. 1, No. 3, December 1995, pps. 1-19, XP002171775 (www.ascusc.org/jcmc/vol1/issue3/picot.html)

Examiner Signature

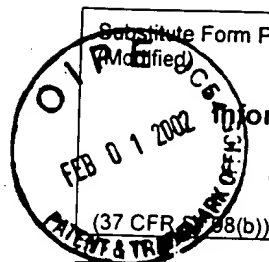
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Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 09857-029001	Application No. 09/401,873
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)				Applicant Stuart Serkin et al.	
(37 CFR 1.98(b))				Filing Date September 23, 1999	Group Art Unit


**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
N.J	AS	Weber, B.W., "How Financial Markets are Going On-Line", EM – Electronic Markets: Newsletter of the Competence Center Electronic Markets, No. 9-10, October 1993, pps. 6-8, XP002171776 ( <a href="http://www.electronicmarkets.org/netacademy/publicatinos.nsf/all_pk/1745/\$file/v3n3_Weber.pdf">www.electronicmarkets.org/netacademy/publicatinos.nsf/all_pk/1745/\$file/v3n3_Weber.pdf</a> )
N.J	AT	"SelectNet User Guide", Nasdaq Stock Market, Inc., December 1999, pps. 1-33, XP002171777 ( <a href="http://www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm">www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm</a> ).
N.J	AU	"SOES User Guide", Nasdaq Stock Market, Inc., December 1999, pps. 1-43, XP002171778 ( <a href="http://www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm">www.nasdaqtrader.com/trader/tradingservices/productservices/userguides/userguides.stm</a> )
<del>MAJ</del>	AV	

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